



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
WWW.USPTO.GOV

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/053,498	01/17/2002	James E. Rothman	11746/46002

#5

21003
BAKER & BOTTS
30 ROCKEFELLER PLAZA
NEW YORK, NY 10112

CONFIRMATION NO. 3379

FORMALITIES LETTER



OC000000007554918

Date Mailed: 02/28/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$264.
 - \$180 for 10 total claims over 20.
 - \$84 for 1 independent claims over 3.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1134.**

The application is *informal* since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

09/25/2002 NGUYEN 00000007 110600 10053498

01 FC:201 370.00 CH
02 FC:205 65.00 CH
03 FC:203 90.00 CH
04 FC:202 42.00 CH

A copy of this notice **MUST** be returned with the reply.

LiabC

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10053498 . 022 MP/\$



#3

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

**RESPONSE TO NOTICE TO FILE
MISSING PARTS OF APPLICATION --
FILING DATE GRANTED**

Docket Number:
11746/46002

Application Number
10/053,498

Filing Date
January 17, 2002

Examiner

Art Unit
1642

Invention Title
**HEAT SHOCK PROTEIN-BASED VACCINES
AND IMMUNOTHERAPIES**

Inventor(s)
ROTHMAN, et al.

Address to:
Commissioner for Patents
Box: Missing Parts
Washington D.C. 20231

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on

Date: September 16, 2002 Reg. No. 31,995

Signature: *Deborah A. Somerville*
Deborah A. Somerville

In response to the Notice to File Missing Parts of Nonprovisional Application, Filing Date Granted, mailed February 28, 2002, the Commissioner is hereby authorized to charge payment of the small entity filing fee of **\$370.00** and small entity additional claims fee of **\$132.00** to Deposit Account No. 11-0600. Applicants are a small entity and entitled to small entity status and entitled to pay the small entity filing fee under 37 C.F.R. 1.27. To complete the filing requirements for the above-identified application under 37 C.F.R. § 1.63, enclosed please find a copy of an executed Declaration and Power of Attorney document from prior U.S. application serial number 08/961,707, filed October 31, 1997 and an executed Power of Attorney by Assignee of Entire Interest (Revocation of Prior Powers and Appointment of New Power). Furthermore, we enclose forty-one (41) sheets of Substitute Drawings which are believed to comply with the requirements of 37 CFR 1.84(g) and which are to be substituted for the drawings as originally filed. A copy of the Notice to File Missing Parts of Application mailed February 28, 2002 is also enclosed.

1. The Commissioner is hereby authorized to charge payment of the 37 C.F.R. § 1.16(l) surcharge fee of **\$65.00** to the deposit account of **Kenyon & Kenyon**, deposit account number **11-0600**.

2. Applicants hereby request a **five-month extension of time** for responding to the Notice of February 28, 2002, which set a two-month period for response. The extended period for response expires on September 28, 2002. Please charge the **\$980.00** extension fee to the deposit account of Kenyon & Kenyon, deposit account number 11-0600. The Commissioner is also authorized to charge any additional fees or credit any overpayment to deposit account number 11-0600.
3. A copy of this sheet is enclosed.

Dated: September 16, 2002

By: Dehl Somerville
Deborah A. Somerville (Reg. No. 31,995)

KENYON & KENYON
One Broadway
New York, N.Y. 10004
(212) 425-7200 (telephone)
(212) 425-5288 (facsimile)